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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/839,872	04/20/2001	Yasuaki Yamagishi	450100-03167	4338

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FROMMER LAWRENCE & HAUG  
745 FIFTH AVENUE- 10TH FL.  
NEW YORK, NY 10151

EXAMINER
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KIM, JUNG W

ART UNIT	PAPER NUMBER
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2132

DATE MAILED: 01/11/2006

Please find below and/or attached an Office communication concerning this application or proceeding.

<b>Office Action Summary</b>	<b>Application No.</b>	<b>Applicant(s)</b>	
	09/839,872	YAMAGISHI ET AL.	
	<b>Examiner</b>	<b>Art Unit</b>	
	Jung W. Kim	2132	

**-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --**

**Period for Reply**

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

**Status**

- 1) ☒ Responsive to communication(s) filed on 22 November 2005.
- 2a) ☒ This action is **FINAL**.                      2b) ☐ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

**Disposition of Claims**

- 4) ☒ Claim(s) 1-15 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-15 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

**Application Papers**

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

**Priority under 35 U.S.C. § 119**

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All    b) ☐ Some \* c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

**Attachment(s)**

- |  |   |
|--|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892)  | 4) <input type="checkbox"/> Interview Summary (PTO-413)<br>Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)                                   | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152)             |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)<br>Paper No(s)/Mail Date _____ | 6) <input type="checkbox"/> Other: _____  |

### **DETAILED ACTION**

1. This Office action is in response to the amendment filed on November 22, 2005.
2. Claims 1-15 are pending.
3. Claims 1, 5, 6, 9, 10 and 15 are amended.
4. The text of those sections of Title 35, U.S. Code not included in this action can be found in a prior Office action.

#### ***Response to Amendment***

5. The 101 rejections to claims 1-15 are persuasive; hence, these rejections are withdrawn.

#### ***Response to Arguments***

6. Applicant's arguments with respect to amended claims 1-15 have been considered but are moot in view of the new ground(s) of rejection.

#### ***Claim Rejections - 35 USC § 103***

7. Claims 1-15 are rejected under 35 U.S.C. 103(a) as being unpatentable over Naor et al. USPN 6,226,743 (hereinafter Naor) in view of Stallings Cryptography and Network Security, Section 11.2 "X.509 Authentication Service" (hereinafter Stallings).

8. As per claim 1, Naor teaches a transmitting apparatus for transmitting a layer structure of a directory which manages public key certificate information in a layer manner (Abstract), comprising:

- a. managing means for making certificate authority information corresponding to a container entry which can store its own subordinate information, making end entity information correspond to a leaf entry which is under domination of the container entry and cannot store its own subordinate information, and managing a layer structure of a directory constructed by the container entry and the leaf entry (col. 5:5-18; 7:19-32);
- b. first detecting means for detecting a change of the layer structure of the directory which is managed by the managing means and obtaining first differential information constructed by a difference of the change of the layer structure of the directory on the basis of a detection result (7:40-57; 8:40-48; 9:1-11); and
- c. second detecting means for detecting a change of the end entity information of the leaf entry which is managed by the managing means and obtaining second differential information constructed by a difference of the change of the end entity information of the leaf entry (7:40-57; 8:40-48; 9:1-11, especially col. 9, lines 2-4); and
- d. broadcasting means for broadcasting the first differential information detected by the first detecting means and the second differential information detected by the second detecting means (9:18-19),

e. wherein information which can obtain latest public key certificate information and lapse information of the latest public key certificate information are stored into the container entry and/or the leaf entry at a predetermined time interval (3:54-56; 7:22-23).

9. Naor does not explicitly disclose the lapse information including a method of obtaining the latest public key certificate information. Stallings discloses various attribute listings included within a certificate including alternative naming conventions of the certificate subject and/or issuer and means to identify the subject and/or issuer (pg. 349, "Certificate Subject and Issuer Attributes"). This feature identifies how to obtain the latest public key certificate information. Hence, it would be obvious to one of ordinary skill in the art at the time the invention was made for the lapse information stored in the container entry/or leaf entry to include a method of obtaining the latest public key certificate information, since it is desirable to include attributes that identifies the issuer of the certified key (Stallings, pg. 349, "Certificate Subject and Issuer Attributes", 1<sup>st</sup> paragraph). The aforementioned cover the limitations of claim 1.

10. As per claim 2, the rejection of claim 1 under 35 U.S.C. 103(a) is incorporated herein. (supra) In addition, the lapse information is a serial number of the public key certificate information (Naor, col. 7:22).

11. As per claim 3, the rejection of claim 1 under 35 U.S.C. 103(a) is incorporated herein. (supra) In addition, one of the latest public key certificate information and the

information for obtaining the latest public key certificate information can be selected and stored in to attributes of the container entry and/or the leaf entry (Naor, col. 9:1-2).

12. As per claim 4, the rejection of claim 3 under 35 U.S.C. 103(a) is incorporated herein. (supra) In addition, the information which is stored into the attributes can be changed between the latest public key certificate information and the information for obtaining the latest public key certificate information in accordance with an elapsed time from an updating event in which the difference has been detected by the detecting means (Naor, col. 3:54-56; 9:1-11).

13. As per claim 5, it is a method claim corresponding to claims 1-4 and it does not teach or define above the information claimed in claims 1-4. Therefore, claim 5 is rejected as being rejected by Naor in view of Stallings for the same reasons set forth in the rejections of claims 1-4.

14. As per claims 6-8, the rejections of claims 1-4 under 35 U.S.C. 103(a) are incorporated herein. (supra) In addition, Naor teaches a corresponding receiving apparatus comprising:

- f. receiving means for making transmitted certificate authority information correspond to a container entry, making end entity information correspond to a leaf entry, and receiving differential information comprising a difference of a change of a layer structure of a directory (col. 9:19-20);

g. managing means for managing the layer structure of the directory constructed on the basis of the differential information received by the receiving means; and changing means for selectively fetching the differential information and changing the layer structure of the directory which is managed by the managing means (9:19-28).

The aforementioned cover the limitations of claims 6-8.

15. As per claim 9, it is a method claim corresponding to claims 6-8 and it does not teach or define above the information claimed in claims 6-8. Therefore, claim 9 is rejected as being unpatentable over Naor in view of Stallings for the same reasons set forth in the rejections of claims 6-8.

16. As per claims 10-14, they are system claims corresponding to claims 1-9 and they do not teach or define above the information claimed in claims 1-9. Therefore, claims 10-14 are rejected as being unpatentable over Naor in view of Stallings for the same reasons set forth in the rejections of claims 1-9.

17. As per claim 15, it is a method claim corresponding to claims 10-14 and it does not teach or define above the information claimed in claims 10-14. Therefore, claim 15 is rejected as being unpatentable over Naor in view of Stallings for the same reasons set forth in the rejections of claims 10-14.

### ***Conclusion***

18. Applicant's amendment necessitated the new ground(s) of rejection presented in this Office action. Accordingly, **THIS ACTION IS MADE FINAL**. See MPEP § 706.07(a). Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire **THREE MONTHS** from the mailing date of this action. In the event a first reply is filed within **TWO MONTHS** of the mailing date of this final action and the advisory action is not mailed until after the end of the **THREE-MONTH** shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than **SIX MONTHS** from the date of this final action.

### ***Communications Inquiry***

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Jung W. Kim whose telephone number is 571-272-3804. The examiner can normally be reached on M-F 9:00-5:00.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Gilberto Barron can be reached on 571-272-3799. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

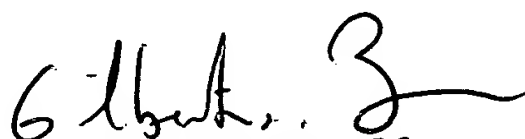


Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).



January 3, 2006

Jung W Kim  
Examiner  
Art Unit 2132



GILBERTO BARRON JR  
SUPERVISORY PATENT EXAMINER  
TECHNOLOGY CENTER 2100